

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-412-75-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/07/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 10c was superseded by N1-412-07-062 schedule 563

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED DEC 30 1974	JOB NO NC - 412-75 - 4
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
4-30-75 Date	<i>James B. Rhoads</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1 FROM (AGENCY OR ESTABLISHMENT)
Environmental Protection Agency

2 MAJOR SUBDIVISION
Office of Planning and Management

3 MINOR SUBDIVISION
Office of Administration

4 NAME OF PERSON WITH WHOM TO CONFER
Mr. Harold R. Masters

5 TEL EXT
755-0840

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, and the records proposed for disposal in this Request of 11 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

12/23/74 (Date) *Thomas Tasker* (Signature of Agency Representative) Acting Chief, Administrative Mgmt. Br. (Title)

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
1 - ¹⁷ 18	Descriptions and retention schedules for the Personnel Management Division, Office of Administration Records, *		
	* [change authorized by T. Tasker 4/9/75 CSR]		
	Copy to the Agency 5/5/75 CD		
	32 items		

ENVIRONMENTAL PROTECTION AGENCY

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RECORDS MANAGEMENT

RECORDS CONTROL SCHEDULES

PERSONNEL RECORDS

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees pursuant to regulations of the Civil Service Commission and other related regulations. Included are records relating to position management, position classification, salary and wage administration, recruitment and placement, employee relations and employee development and training, and employee opportunity.

Item	Name and Description of Record/File	Retention Period and Disposition
1.	<p><u>Official Personnel Folders (civilian).</u></p> <p>a. <u>Permanent Material (right side of folder).</u> Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual specifies the documents required for inclusion in Official Personnel Folders. (Note: Official personnel jackets of Commissioned Officers in the Public Health Service are maintained by the PHS Personnel Department, Rockville, Maryland.)</p>	<p><u>Retention:</u> Retain Folders of EPA employees until separated or transferred (see Disposition for detailed information on the proper handling and disposing of Official Personnel Folders).</p> <p><u>Disposition:</u> Official Personnel Folders of EPA employees will be disposed of in accordance with instructions in the FPM and the following:</p> <p>(1) Folders for employees separated for active military duty who have restoration rights and employees</p>

TN
ORIGINATOR

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Item	Name and Description of Record/File	Retention Period and Disposition
		<p>transferred to public international organizations with reemployment rights will be retained until re-employment or expiration of these rights.</p> <p>(2) Folders for employees reached for reduction in force whose names have been entered on the Reemployment Priority List will be retained until their names are removed from the list.</p> <p>(3) Folders for employees who were involuntarily separated and who appeal their separation may be retained until the appeal is resolved.</p> <p>(4) Folders for separated employees for whom permanent records are outstanding or for whom retirement, insurance, or other claims are being adjudicated may be retained for the additional time required to obtain and file the records or to adjudicate claims.</p> <p>(5) Where there is a work situation which makes it probable that the same people will be employed repeatedly for short periods of time, their folders may be retained for a maximum period of two years after the date of their last separation.</p>

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	<p>b. <u>Temporary Material (left side of folder)</u>. Documents maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.</p>	<p>(6) Folders for employees who were involuntarily separated and who are entitled to severance pay under section 550.702 of the Commission's regulations shall be retained until the former employee is reemployed without time limitation or is reemployed under an appointment limited to more than one year, after a break of more than three days, or until the severance pay fund is exhausted, whichever comes first. Employees transferring to another Federal Agency follow instructions in FPM. Employees who have separated transfer folders to inactive file in accordance with the FPM, then transfer folders to NPRC, (CPR), St. Louis, Missouri, 30 days after separation.</p> <p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon transfer or separation or 1 year, whichever is earlier.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
2.	<p><u>Service Record Card.</u> (Standard Form 7.) Cards showing service records of employees separated or transferred.</p>	<p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file after employee's separation or transfer. Keep in office for 3 years, then destroy.</p>
3.	<p><u>Employment.</u></p> <p>a. Applications for employment and related papers, excluding (a) records relating to appointments and requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder.</p> <p>b. Employee Examination Records. Completed test materials.</p>	<p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier. Keep in office for 1 year, then destroy.</p> <p><u>Retention:</u> Retain 1 year.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 1 year, then destroy.</p>
4.	<p><u>Appointment Files.</u> Correspondence, letters, and telegrams offering appointments to potential employees.</p> <p>a. <u>Accepted Appointments.</u> If appointment is accepted, file with temporary personnel papers on left side of folder.</p>	<p><u>Retention:</u> Same as item 1b.</p> <p><u>Disposition:</u> Same as item 1b.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
	b. <u>Declined Appointments.</u> If appointment is declined.	<u>Retention:</u> Retain 1 month. <u>Disposition:</u> Break file after 1 month. Return to CSC with reply and application if name was received from certificate of eligibles.
5.	<u>Certificates Files.</u> a. Requests for certificates of eligibles. b. Certificate of eligibles.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file after certificate is closed. Keep in office and destroy 2 years after date of certificate. <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file after certificate is closed. Keep in office and destroy 2 years after date of certificate.
6.	<u>Classification.</u> a. <u>Position Description Files.</u> Documents which describe duties, responsibilities, and supervisory relationships of each position within the organization. These include copies of position	<u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break inactive file at end of fiscal year. Keep in office for 5 years, then destroy.

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	<p>descriptions of General Schedule and Wage Board positions, position description amendments, certifications, checklists or fill-in descriptions, multiple or standard descriptions and related papers.</p> <p>b. <u>Position Classification Survey Files</u>. Documents created by performing systematic examination of the essential aspects of all positions and position design and structuring within an area. Included are position survey reports, records of classification surveys, position review classifications, review papers, recommendations, and related papers.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year following completion of survey. Keep in office for 5 years, then destroy.</p>
7.	<p><u>Personnel Action Files (SF 50)</u>. Copies exclusive of those in Official Personnel Folders accumulated to provide a record of inspection, statistics, references, preparation of reports, etc.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of month. Keep in office for 2 years, then destroy.</p>
8.	<p><u>Miscellaneous Personnel Records Files</u>. Correspondence and forms in operating personnel offices relating to personnel.</p>	

Item	Name and Description of Record/File	Retention Period and Disposition
	<p>a. Correspondence and forms relating to pending personnel action.</p> <p>b. Retention Registers (including card files and related papers). These are lists or printouts prepared before reduction-in-force for each competitive level affected by the reduction.</p> <p>c. Retention Registers including card files and related papers) from which <u>no</u> reduction-in-force actions have been taken.</p> <p>9. <u>Merit Promotion Files</u>. Position vacancy announcements, bids, applications for job vacancies, evaluations, referrals, requests for certificates of eligibles, certificates of eligibles for appointment, copies of registers, and selected papers maintained by personnel offices.</p>	<p><u>Retention:</u> Dispose when action is completed.</p> <p><u>Disposition:</u> Break file after completion of personnel action, then destroy.</p> <p><u>Retention:</u> Retain 2 years unless court case is pending.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy, unless an appeal or court case is pending, destroy after the case is resolved, whichever is later.</p> <p><u>Retention:</u> Retain until superseded.</p> <p><u>Disposition:</u> Destroy when superseded.</p> <p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then destroy, provided that requirements of the FPM are observed.</p>

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10.	<p><u>Employee Performance.</u></p> <p>a. <u>Incentive Awards.</u> Records documenting an employee suggestion, superior performance award, or quality within-grade increase.</p> <p>b. <u>Incentive Awards Program - Reports.</u></p> <p>c. <u>Performance Rating Appeals Files.</u> Consist of copies of employee's appeals of his performance rating, copies of decisions rendered and other material pertaining to the case.</p> <p>d. <u>Civilian Service.</u> Length of Service Control Files. Controls maintained to record eligibility for an award of civilian service emblems.</p>	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 2 years, then destroy.</p> <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file after report is completed. Keep in office for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 3 years,</p> <p><u>Disposition:</u> Break file at end of year in which final decision is made. Keep in office for 3 years, then destroy.</p> <p><u>Retention:</u> Retain until superseded by current ADP list.</p> <p><u>Disposition:</u> Destroy when new ADP list is created.</p>

Item	Name and Description of Record/File	Retention Period and Disposition
11.	<p><u>Employee Relations.</u></p> <p>a. <u>Appeals and Grievances Files.</u> Files related to reviewing, hearing, and disposing of employee grievances and appeals of adverse personnel actions and disciplinary measures. These include material pertinent to individual employees but not filed in the Official Personnel Folder, such as employees appeals of disciplinary actions, summaries and transcripts of hearings, designation of committee members, committee reports, Civil Service Commission reports and related papers.</p> <p>b. <u>Equal Employment Opportunity Affirmative Action Plan Files.</u> Annual reports showing the existing problems related to Equal Employment Opportunity, and the plan for improving the situation.</p> <p>c. <u>EEO Program Files.</u> Files containing documents describing operation, problems, accomplishments, and other matters relative to the Equal Employment Opportunity program.</p>	<p><u>Retention:</u> Retain 4 years.</p> <p><u>Disposition:</u> Break file at end of year after final decision. Keep in office for 1 year, then transfer to Federal Records Center. Keep in FRC for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year, Keep in office for 3 years, then destroy.</p> <p><u>Retention:</u> Retain 3 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 3 years, then destroy.</p>

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12.	<p><u>Employee Benefits Files.</u> Documents relating to the origination, implementation, or monitoring of employee benefits, such as group life insurance and health plans. Health Benefits Registration and Notices of Change in Enrollment Status Form, signed originals.</p>	<p><u>Retention:</u> Same as Item 1a. <u>Disposition:</u> Same as Item 1a.</p>
13.	<p><u>Health Record Case File.</u> Files contain correspondence, reports, and other papers documenting employee medical history.</p> <p>a. Preemployment physical examination, Health Qualification Placement Records, and fitness for duty examination.</p> <p>b. All other papers.</p>	<p><u>Retention:</u> Same as Item 1a. <u>Disposition:</u> Same as Item 1a.</p> <p><u>Retention:</u> Retain 5 years. <u>Disposition:</u> Break when file becomes inactive. Keep in office for 5 years, then destroy.</p>
14.	<p><u>Retirement Program Files.</u> Copies of documents created in providing assistance and instructions to employees regarding retirement and interpretation of matters pertaining to retirement program, including benefits, eligibility, types of annuities and retirements.</p>	<p><u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of fiscal year. Keep in office for 2 years, then destroy.</p>

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15.	<u>Training Program Files.</u> Files contain documents which describe the operation, accomplishments, and other matters relative to the training program.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of fiscal year. Keep in office for 5 years, then destroy.</p>
16.	<u>Training Report Files.</u> Reports compiled pertaining to training and all related papers.	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file one year after completion of report. Keep in office for 5 years, then destroy.</p>
17.	<u>Personnel Statistical Reports.</u> Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Civil Service Commission, other comparable reports, and related papers.	<p><u>Retention:</u> Retain 2 years.</p> <p><u>Disposition:</u> Break file at end of year when report is completed. Keep in office for 2 years, then destroy.</p>

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Item	Name and Description of Record/File	Retention Period and Disposition
18.	<u>Personnel Statistical Reports.</u> Records created in the preparation, coordination, and consolidation of regular and special personnel reports to the Civil Service Commission, other comparable reports, and related papers.	<u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year when report is completed. Keep in office for 2 years, then destroy.